

## General Assessment Reconciliation

(33-REV 10t)

Fiscal year ended 12:31, 2015

Carefully Review Instructions

Work on this copy before completing the form

## TO BE FILED BY ALL SIPC MEMBERS WITH FISCAL YEAR ENDINGS

1 Name of Member, address Designated Examining Authority 1934 Act registration no and month in which fiscal year ends for purposes of the audit requirement of SEC Rule 17a-5.

1/12-1251"....."\*\*\*\*\*"ALL FOR AADC 940  
066849 EINRA DEC  
N4 FINANCIAL INC  
1900 ()FARRELL ST STE 145  
SATE MATEO CA 944103-T373

**7** Note: If any of the information shown on the mailing label requires correction, please e-mail any corrections to [form@sipc.org](mailto:form@sipc.org) and so indicate on the form filed.

Name and telephone number of person to contact re: this form

Mark Rogers 415 738-6220

2 A. General Assessment total due from page 2'

0

B. Less payment made with SIPC-6 filed (exclude Interest,

0

Date Paid

C. Less prior overpayment applied

0

D Assessment balance due or (overpayment)

E. Interest computed on late payment (see instruction E) for \_\_\_\_\_ days at 20% per annum

0

F. Total assessment balance and interest due (or overpayment carried forward)

\$0

PAID WITH THIS FORM:

Check enclosed, payable to SIPC

Total must be same as F above)

SO

H Overpayment carried forward

\$1 0

3 Subsidiaries (SI and predecessors (Part) included in this form (give name and 1934 Act registration number)

The SIPC member submitting this form and the person by whom it is executed represent hereby that all information contained herein is true, correct and complete

N4 Financial, Inc.



President EO

Dated the 22 day of January 20 16

This form and the assessment payment is due 60 days after the end of the fiscal year- Retain the Working Copy of this form for a period of not less than 6 years, the latest 2 years in an easily accessible place.

SIPC REVIEWER

Dates

Postmarked

Received

Reviewed

Calculations

Documentation

Forward Copy

Exceptions:

Disposition of exceptions:

# DETERMINATION OF \*SIPC NET OPERATING REVENUES" AND GENERAL ASSESSMENT

Amounts for the beginning 11112015  
and ending 1211 2015

Item No.

Eliminate cents

2a Total revenue (FOCUS Line 12 Parr HA Line 1 Code 40301

\$ 252

## 2b Additions

121 Net loss from principal transactions in securities in the following accounts:  
131 Net loss from principal transactions in commodities trading accounts.

141 Interest and dividend expense deducted in determining item 2a.

15, Net loss from management of or participation in the underwriting or distribution of securities.

6i Expenses other than advertising, printing, registration fees and legal fees deducted in determining net profit from management of or participation in underwriting or distribution of securities

171 Net loss from securities in investment accounts.

252

Total additions

## 2c. Deductions

161 Revenues from the distribution of shares at a registered open end investment company or unit investment trust, from the sale of variable annuities, from the business of insurance, from investment advisory services rendered to registered investment companies or insurance company separate accounts, and from transactions in security futures products.

(2) Revenues from commodity transactions.

3; Commissions, brook brokerage and clearance paid to other SIPC members in connection with securities transactions

171 Reimbursements for postage in connection with proxy solicitation

(5) Net gain from securities in investment accounts.

161 100% of commissions and markups earned from transactions in certificates of deposit and Treasury bills, bankers acceptances or commercial paper that mature nine months or less from issuance date

171 Direct expenses for printing advertising and legal fees incurred in connection with other revenue related to the securities business (revenue defined by Section 1619(L) of the Act).

(8) Other revenue not related either directly or indirectly to the securities business (See Instruction C)

Interest

252

;Deductions in excess of \$100,000 require documentation)

91 ii Total interest and dividend expense (FOCUS Line 22 PART IIA Line 13, Code 4075 plus line 2b4i above) but not in excess of total interest and dividend income

ii 40% of margin interest earned on customers securities accounts 140% at FOCUS line 5. Code 39601.

Enter the greater of line iii or

0

Total deductions

252

2d SIPC Net Operating Revenues

\$

2e General Assessment @ 0025

\$ 0

Go to page 1, line 2.A